

DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE

Schedule No. C 857

Page 1 of 1

Agency

Division/Unit

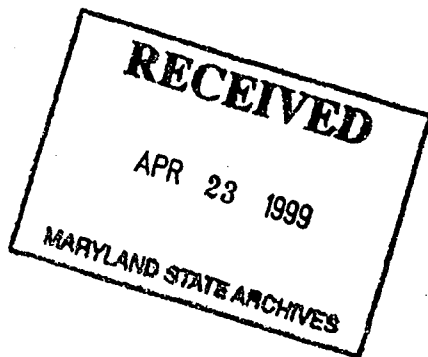
RISK MANAGEMENT

Item  
No.

Description

Retention

All electronic media records will be created and stored using a system that is in compliance with Comar 14.18.04. Permanent records will transferred to MSA on CD stored as "Tif" files with the retrieval software embedded on the CD.



Schedule Approved by Department, Agency, or  
Division Representative

Date

Signature

Typed Name Phyllis L. Pritchett

Title Records Management Officer

Schedule Authorized by State Archivist

Date

Signature

JUL 20 1999

Edward C. Papenfuss

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE**

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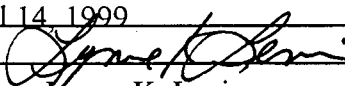
**Agency** COUNTY ADMINISTRATION

**Division/Unit** RISK MANAGEMENT

Item No.	Description	Retention
1.	<p><b>GENERAL CORRESPONDENCE</b></p> <p><b>a) POLICY AND PROGRAM DEVELOPMENT</b> Correspondence relating to the formulation, implementation, or modification of policies, programs or projects. All final Policies and Procedures are kept as permanent records in the Office of County Administration's "Policy &amp; Procedure Manual."</p> <p><b>b) ADMINISTRATIVE</b> Correspondence pertaining to normal and routine administrative functioning.</p>	<p>3 years, then destroy. Before disposal and annually thereafter, appraise for continuing administrative usefulness.</p> <p>1 year, then destroy. Before disposal and annually thereafter, appraise for continuing administrative usefulness.</p>
2.	<p><b>GENERAL SUBJECT FILES</b></p> <p><b>a) Files opened to deal with issues, questions or projects relating to risk management activities.</b></p> <p><b>b) Original signed contracts with Allied Agencies for self insurance coverage.</b></p>	<p>Review annually for administrative usefulness, then destroy.</p> <p>Maintain in Division file as long as administratively valuable, then transfer to CD for storage. Destroy 20 years beyond active period of the contract.</p>
3.	<p><b>GENERAL ACCOUNTING RECORDS</b></p> <p>Our office copies of check requests, purchase orders, and expenses of the division along with supporting materials.</p>	<p>3 years, then destroy.</p>

Schedule Approved by Department, Agency, or Division Representative.

Date April 14, 1999

Signature 

Typed Name Lynne K. Levin

Title Risk Management Administrator

Schedule Authorized by State Archivist

Date JUL 20 1999

Signature 

**DEPARTMENT OF GENERAL SERVICES  
RECORDS MANAGEMENT DIVISION  
RECORDS RETENTION AND DISPOSAL SCHEDULE**

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**Agency COUNTY ADMINISTRATION**

**Division/Unit RISK MANAGEMENT**

Item No.	Description	Retention
4.	<b>SPECIAL ACCOUNTING RECORDS</b> Audit Reports, Actuarial Analyses.	Retain for 10 years, then destroy.
5.	<b>PERSONNEL RECORDS</b> a) Leave and Time Sheets Office copies of employees Annual, Official and Disability leave forms and daily timekeeper records.  b) Unofficial Personnel Files Files contain copies of annual reviews, salary increases, doctor notes, etc.	3 years, then destroy.   Screen annually and destroy material no longer needed for current reference. Upon separation of the employee, retain file for 3 years then destroy.
6.	<b>SAFETY</b> a) General Safety Informal documentation and correspondence.  b) Site Inspection and Complaint Investigation Files.   c) OSHA, MOSH Files Files contain information on safety violations, MOSH inspections, OSHA 200 Log.	Screen annually and destroy material no longer administratively useful.  Retain in office 5 years and transfer to CD for storage. Review every 5 years for destruction of items not administratively useful.  Retain for 10 years then destroy.

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**Agency** COUNTY ADMINISTRATION

**Division/Unit** RISK MANAGEMENT

Item No.	Description	Retention
7.	<b>INSURANCE DOCUMENTS</b> a) State Applications and Compliance Forms  b) Commercial Insurance Policies	Retain for 10 years then destroy.  Retain in office for as long as administratively useful then transfer original documents to warehouse for storage. Keep copy on CD on site. Destroy both at 20 years beyond the policy expiration after review by Risk Manager for pending litigation.
8.	<b>CLAIM FILES:</b>	See individual listing.
8.1	<b>AUTOMOBILE LIABILITY CLAIM FILES</b> a) First Party Files Files which document damage to County owned/insured vehicles.  b) Third Party Files Files which document claims involving accidents with non-County vehicles.  c) Claims and Incident Reports involving minor children	3 years after closure or subrogation recovery, then destroy.  Maintain in Division active files until closed. Then retain on site for 5 years, destroy all material except Releases. Transfer Releases to CD storage, reviewing every 20 years for destruction.  Maintain in Division active files until closed, then retain on site for 5 years. Transfer entire file to CD, destroy paper, and save CD until 3 years after child's eighteenth birthday, then expunge record.

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**Agency** COUNTY ADMINISTRATION

**Division/Unit** RISK MANAGEMENT

Item No.	Description	Retention
8.2	<p><b>GENERAL LIABILITY CLAIM FILES</b></p> <p>a) Claims involving accidents and incidents other than auto and environmental.</p> <p>b) Incident Reports with no claim timely filed.</p> <p>c) Claims and Incident Reports involving minor children.</p>	<p>Maintain in Division active files until closed. Then retain on site for 5 years, destroy all material except Releases. Transfer Releases to CD, reviewing every 20 years for destruction.</p> <p>File in Division for 3 years then destroy.</p> <p>Maintain in Division active files until closed, then retain on site for 5 years. Transfer entire file to CD and save until 3 years after attainment of child's eighteenth birthday then expunge record.</p>
8.3	<p><b>PROPERTY CLAIM FILES</b></p> <p>First party claims involving damage to county owned/insured real and personal property.</p>	<p>3 years after closure, then destroy. Claims involving major losses of real property may be retained as long as administratively valuable, with review every 20 years for destruction.</p>
8.4	<p><b>ENVIRONMENTAL CLAIM FILES</b></p> <p>Claims involving third party damages resulting from landfills, underground and above ground storage tanks, etc.</p>	<p>Maintain in Division active files until closed. Then retain on site for 5 years. Transfer to CD and review every 20 years for destruction.</p>

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Division/Unit RISK MANAGEMENT


Item No.	Description	Retention
8.5	<p><b>WORKERS' COMPENSATION CLAIM FILES</b></p> <p>a) Open and active claim files handled by Third Party Claims Administrator (TPA).</p> <p>b) Closed files</p> <p>c) Incidents, not reportable under OSHA guidelines with no medical treatment and no allegation of occupational disease.</p> <p>d) Incidents with mention of potential exposure to hazardous chemicals or occupational disease.</p>	<p>Retain on site at TPA office until closed to the Closed File.</p> <p>Retain on site at TPA office for 3 years from date of closure or end of TPA contract, whichever occurs first. Transfer files to Division for purging of superfluous material and transfer to CD for storage. Destroy 20 years beyond date of last payment after review by Risk Manager for pending litigation.</p> <p>Retain in Division for 5 years, then destroy.</p> <p>Retain in Division office for 5 years, then transfer to CD for permanent storage, and destroy paper once CD has been verified.</p>
9.	<p><b>LOSS STATISTICS</b></p> <p>General data collected with respect to loss trends, claim costs, etc.</p>	<p>Maintain as long as administratively useful. Review every 5 years for destruction.</p>

CENTRAL SERVICE

Fax: 4103133290

Apr 15 '99 12:13

P.02

<b>Instructions</b> - Type or Print a separate form for each new or revised record series. Forward with Record Retention Schedule (OGS 550-1)	<b>DEPARTMENT OF GENERAL SERVICES</b> <b>RECORDS MANAGEMENT DIVISION</b> 7275 WATERLOO ROAD P.O. BOX 275 JESSUP, MARYLAND 20794	<b>AGENCY RECORDS INVENTORY</b>  PAGE <u>2</u> OF <u>3</u>																				
Department/Agency Howard County Government County Administration	2. Division Risk Management	3. Unit N/A																				
<b>DEFINITION - RECORD SERIES</b> - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.																						
4. Record Series Title <b>Insurance Documents - Commercial Insurance Policies</b>		5. Earliest Year/Latest Year <b>1981 to Present</b>																				
6. Record Series Description (Briefly describe the types of information contained in the series. Include the purpose or function of the series.) <b>Commercial Insurance Policies</b>																						
<table border="1" style="margin: auto;"> <tr> <td colspan="2">Post-It® Fax Note    7671</td> <td>Date <u>4/16/99</u></td> <td># of pages <u>3</u></td> </tr> <tr> <td>To <u>Vanessa B. Phyllis</u></td> <td colspan="2">From <u>Risk Mgmt</u></td> <td></td> </tr> <tr> <td>Co./Dept.</td> <td colspan="2">Co. <u>Howard</u></td> <td></td> </tr> <tr> <td>Phone #</td> <td colspan="2">Phone #</td> <td></td> </tr> <tr> <td>Fax # <u>3290</u></td> <td colspan="2">Fax # <u>6399</u></td> <td></td> </tr> </table>			Post-It® Fax Note    7671		Date <u>4/16/99</u>	# of pages <u>3</u>	To <u>Vanessa B. Phyllis</u>	From <u>Risk Mgmt</u>			Co./Dept.	Co. <u>Howard</u>			Phone #	Phone #			Fax # <u>3290</u>	Fax # <u>6399</u>		
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Co./Dept.	Co. <u>Howard</u>																					
Phone #	Phone #																					
Fax # <u>3290</u>	Fax # <u>6399</u>																					
7. Record Series Format(s)  <input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input checked="" type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input type="checkbox"/> Floppy Disk <input type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape <input type="checkbox"/> Other (specify) _____	8. Record Series Sequence  <input checked="" type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (specify) _____	9. Volume <u>2</u> Number  <input checked="" type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify) _____																				
11. File is Used <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <b>Occasionally</b>		12. File Becomes Inactive After <u>12</u> <input checked="" type="checkbox"/> Month(s) <input type="checkbox"/> Year(s) Number																				
13. Current Location(s)    (Bldg., Floor, Room)  <b>Gateway Building, 3rd Floor, Risk Management</b>		14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No																				
15. Access Restrictions <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No (If Yes, cite Law(s) & Regulation(s))		16. Audit Requirements  <input checked="" type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent																				
17. Is an Index System Used? (If yes, explain briefly and describe any hardware/software)  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		18. Recommended Retention <b>Retain Permanently</b>																				
Name and Title of Preparer <u>Lyne K. Levin, Risk Management Administrator</u> 	20. Telephone Number  410-313-6390	21. Date  <u>4/16/99</u>																				

CENTRAL SERVICE

Fax: 4103133290

Apr 15 '99 12:13

P.02

Instructions - Type or Print a separate form for each new or revised record series, forward with Record Retention Schedule (DGS 650-1)		DEPARTMENT OF GENERAL SERVICES RECORDS MANAGEMENT DIVISION 7275 WATERLOO ROAD P.O. BOX 275 JESSUP, MARYLAND 20794		AGENCY RECORDS INVENTORY  PAGE <u>1</u> OF <u>3</u>	
Department/Agency Howard County Government County Administration		2. Division Risk Management		3. Unit N/A	
DEFINITION - RECORD SERIES - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.					
4. Record Series Title    General Subject Files: Original Signed Contracts with Allied Agencies				5. Earliest Year/Latest Year 1981 to Present	
6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series. Original signed contracts with Allied Agencies for Self-Insurance coverage under the County's Risk Management Program.					
7. Record Series Format(s)  <input checked="" type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input type="checkbox"/> Floppy Disk <input type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape <input type="checkbox"/> Other (specify) _____		8. Record Series Sequence  <input checked="" type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (specify) _____		9. Volume <u>.5</u> Number  <input checked="" type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify) _____	
				10. Annual Accumulation <u>.5</u> Number <input checked="" type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify) _____	
11. File is Used <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly Only When Updated			12. File Becomes Inactive After _____ Number <input type="checkbox"/> Month(s) <input type="checkbox"/> Year(s) Only Upon Replacement		
13. Current Location(s) (Bldg., Floor, Room) Gateway Building, 3rd Floor, Risk Management			14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office) <input type="checkbox"/> Yes <input type="checkbox"/> No Each Agency has a photocopy.		
15. Access Restrictions <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, cite Law(s) & Regulation(s))			16. Audit Requirements <input checked="" type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent		
17. Is an Index System Used? (If yes, explain briefly and describe any hardware/software)  <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			18. Recommended Retention - Retain permanently		
Name and Title of Preparer Lynne K. Levin, Risk Management Administrator		20. Telephone Number 410-313-6390		21. Date 4/16/99	

DGS 650-4 (Rev. 1/93)

Figure 1



<b>Instructions</b> - Type or Print a separate form for each new or revised record series, forward with Record Retention Schedule (DGS 550-1)		<b>DEPARTMENT OF GENERAL SERVICES</b> <b>RECORDS MANAGEMENT DIVISION</b> 7275 WATERLOO ROAD P.O. BOX 275 JESSUP, MARYLAND 20794		<b>AGENCY RECORDS INVENTORY</b>	
				PAGE <u>3</u> OF <u>3</u>	
Department/Agency Howard County Government County Administration		2. Division Risk Management		3. Unit N/A	
<b>DEFINITION - RECORD SERIES</b> - A group of related records normally filed and used as a unit for reference as well as retention and disposition purposes.					
4. Record Series Title <u>Claim Files</u>				5. Earliest Year/Latest Year <u>1992</u> to <u>Present</u>	
6. Record Series Description (Briefly describe the types of information/documents/forms found in the series. Include the purpose or function of the series.) <u>Workers' Compensation Claim Files</u>					
7. Record Series Format(s) <input type="checkbox"/> Letter Size <input type="checkbox"/> Microfilm <input checked="" type="checkbox"/> Legal Size <input type="checkbox"/> Computer Tape <input type="checkbox"/> Bound Book <input type="checkbox"/> Floppy Disk <input type="checkbox"/> Audio Tape <input type="checkbox"/> Video Tape <input type="checkbox"/> Other (specify) _____		8. Record Series Sequence <input checked="" type="checkbox"/> Alphabetical <input type="checkbox"/> Numerical <input type="checkbox"/> Chronological <input type="checkbox"/> Geographical <input type="checkbox"/> Other (specify) _____		9. Volume 22 <input checked="" type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) 20 <input checked="" type="checkbox"/> Other (specify) Boxes 10. Annual Accumulation <input type="checkbox"/> File Drawer(s) <input type="checkbox"/> Microfilm Reel(s) <input type="checkbox"/> Computer Tape(s) <input type="checkbox"/> Other (specify) Number _____	
11. File is Used <input type="checkbox"/> Daily <input type="checkbox"/> Weekly <input type="checkbox"/> Monthly <u>As needed - varies</u>			12. File Becomes Inactive After <u>5</u> <input type="checkbox"/> Month(s) <input checked="" type="checkbox"/> Year(s) Number _____		
13. Current Location(s) (Bldg., Floor, Room) <u>Gateway Building - 3rd Floor, Risk Management</u>			14. Is Record Series Duplicated Elsewhere? (If yes, specify agency or office) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No      In part, at MD Worker's Compensation Commission		
15. Access Restrictions <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No (If Yes, cite Law(s) & Regulation(s)) <u>Confidential claim files</u>			16. Audit Requirements <input checked="" type="checkbox"/> None <input type="checkbox"/> State <input type="checkbox"/> Federal <input type="checkbox"/> Independent		
17. Is an Index System Used? (If yes, explain briefly and describe any hardware/software) <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No <u>Database file lists each claim</u>			18. Recommended Retention <u>Permanent Retention</u>		
Name and Title of Preparer <u>Lynne K. Levin Risk Management Administrator</u>		20. Telephone Number <u>410-313-6390</u>		21. Date <u>4/16/99</u>	